

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No.: 09/465,607
Date Filed: December 17, 1999
Title: COMPUTER-IMPLEMENTED SECURITIES TRADING SYSTEM
Applicants: Timothy Keiser et al.
Group Art Unit: 3691
Confirmation No.: 9080
Examiner: Clement Graham

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Pursuant to 37 C.F.R. §§ 1.56, 1.97, and 1.98, Applicant submits herewith patents, publications or other information that may be material to the examination of this application or that may be within a duty to disclose. Applicant respectfully requests that the Examiner fully consider the items listed on the enclosed PTO Form-1449, to independently ascertain their teaching, and to initial beside each reference listed. Please return a copy of the initialed citation form to the Applicants' undersigned representative

Applicants reserve the right to establish the patentability of any claim over any of the information provided. The filing of this Information Disclosure Statement shall not be construed as an admission or representation that (a) a thorough search has been made; (b) the information cited is, or is considered to be, material to patentability; (c) no additional material information exists; (d) Applicant agrees with any statement(s) in the information cited; (e) any reference is prior art; (f) any reference has been reviewed; (g) any reference is analogous art; (h) the listed publication date of any reference is the date on which the reference was actually first published; (i) the information cited is enabling or otherwise sufficient for the teachings purportedly proffered thereby.

The Examiner is specifically requested not to rely solely on the information submitted by Applicants in this Information Disclosure Statement or in other documents submitted by Applicants.

It is understood that the Examiner will consider information that has been previously considered by the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120 (other than an international application that designated the U.S.), as required by MPEP § 609.02.

FEES AND/OR CERTIFICATIONS

I. FEE DUE AND/OR CERTIFICATION

- A. This information Disclosure Statement is submitted after three months from the filing date, or after the mailing of a first Office Action on the merits, but prior to the mailing date of a final Office Action, a Notice of Allowance or any action that otherwise closes prosecution of the application, and thus:

☒ the fee set forth in 37 CFR §1.17(p) is enclosed.

Applicant herein authorizes the Commissioner to charge any fees specified above to Deposit Account No. 50-3938.

It is not believed that any additional fees are required beyond those that may otherwise be provided for in this paper or documents accompanying this paper. However, if additional fees are necessary to prevent abandonment of this application, then any fees required therefor are hereby authorized to be charged to Deposit Account No. 50-3938.

Respectfully submitted,

Dated: August 30, 2010

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